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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/925,547	08/08/2001	Andrew Grupe	ROCH008

CONFIRMATION NO. 4701

## FORMALITIES LETTER



\*OC000000006906980\*

Bozicevic, Field and Francis LLP  
Suite 200  
200 Middlefield Road  
Menlo Park, CA 94025

Date Mailed: 10/15/2001

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

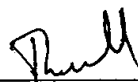
Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*



A handwritten signature in black ink, appearing to be 'D. Hall', is written over a horizontal line.

Customer Service Center

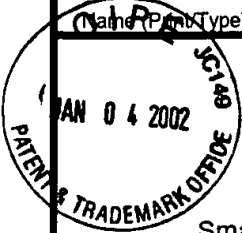
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

# CERTIFICATE OF MAILING

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(Name and Type) Cindy Hoang Signature *Cindy Hoang* Date 11-13-2001



## TRANSMITTAL

☐ Small Entity ☒ Large Entity

Application Number 09/925,547  
 Confirmation Number 4701  
 Filing Date August 8, 2001  
 First Named Inventor SYZMKOWSKI  
 Examiner To Be Assigned  
 Group Art 1645  
 Attorney Docket No. ROCH007

### ENCLOSED:

	Claims	No. of claims as filed or after amendment	Most claims previously paid for	# Extra Claims	Rate	Totals
<input type="checkbox"/> Amendment Under Rule	Total					\$ -
<input type="checkbox"/> 37 CFR §	Independent					\$ -
<input type="checkbox"/> Pages	Multiple					
	Total Extra Claim Fees					\$ -

☐ Applicants Petition for an Extension of time from \_\_\_\_\_ to \_\_\_\_\_ A    month extension was previously filed and paid for thereby reducing the basic fee Fee \_\_\_\_\_

☐ Response to File Missing Parts (with copy of formalities letter)

☐ Filing Fee Fee \_\_\_\_\_

☐ Executed Declaration Pages \_\_\_\_\_ Surcharge Fee \_\_\_\_\_

☒ Other \_\_\_\_\_ Fee \_\_\_\_\_

\_\_\_\_\_ Fee \_\_\_\_\_

\_\_\_\_\_ Fee \_\_\_\_\_

\_\_\_\_\_ Fee \_\_\_\_\_

Subtotal \$ -

☐ Information Disclosure Statement

☐ PTO Form 1449 Pages \_\_\_\_\_

☐ \_\_\_\_\_ Copies of Cited References

☐ Other \_\_\_\_\_ Fee \_\_\_\_\_

Subtotal \$ -

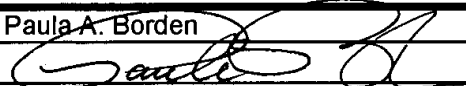
☒ Response to Notice to Comply (with copy of Notice to Comply)

☒ Sequence Listing Certification

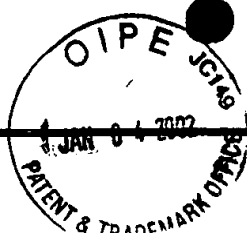
☒ Paper Copy of Sequence Listing Pages 5

☒ Diskette in computer-readable format

☐ Other \_\_\_\_\_ Fee \_\_\_\_\_

<input type="checkbox"/> Terminal Disclaimer		Fee
<input type="checkbox"/> Appeal to Board of Appeals and Appeal Communication to Group		
<input type="checkbox"/> Notice of Appeal	Pages _____	Fee _____
<input type="checkbox"/> Appeal Brief in Triplicate	Pages _____	Fee _____
<input type="checkbox"/> Reply Brief	Pages _____	Fee \$ -
		Subtotal \$ -
<input type="checkbox"/> Other Enclosures and/or Fees _____		Fee _____
<input type="checkbox"/> Change of Correspondence Address		
<input checked="" type="checkbox"/> Return Receipt Postcard		TOTAL FEES \$ -
<p>The Commissioner is authorized to charge any fees which may be required, or credit any overpayment to Deposit Account 50-0815. If additional fees are required, including extensions of time, please consider this a petition therefore. A duplicate copy of this transmittal is enclosed.</p>		
SIGNATURE OF APPLICANT, ATTORNEY OR AGENT REQUIRED		
Name (Print/Type)	Paula A. Borden	Registration No. 42,344
Signature		Date 11-13-2001
Firm Name	Bozicevic, Field & Francis LLP	Address 200 Middlefield Road, Suite 200
City	Menlo Park	State California zip 94025
Telephone - Direct Dial	650-327-3400	Facsimile 650-327-3231

Application No. 09/925,547 Attorney Docket No. ROCH007 Page 2 of 2



#3

**CERTIFICATION REGARDING SEQUENCE LISTING**



Application Number	09/925,547
Confirmation Number	4701
Filing Date	August 8, 2001
First Named Inventor	SYZMKOWSKI
Examiner	To Be Assigned
Group Art	1645
Attorney Docket No.	ROCH007

ADDRESS TO: Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the enclosed Sequence Listing is being submitted in paper copy and on a computer-readable diskette, and that the content of the paper and computer readable copies are the same.

I hereby certify that the enclosed submission includes no new matter.

Signature				Date	11-13-2001
Firm Name	Bozicevic, Field & Francis LLP		Address	200 Middlefield Road, Suite 200	
City	Menlo Park	State	California	zip	94025
Telephone - Direct Dial	650-833-7710		Facsimile	650-327-3231	

**CERTIFICATE OF MAILING OR TRANSMISSION**

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Name (Print/Type)	Cindy Hoang	Signature		Date	11-13-2001
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